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I, JANENE PEISKER, TEAM LEADER EXAMINATION SUPPORT AND SALES hereby certify that annexed is a true copy of the Provisional specification in connection with Application No. 2003906846 for a patent by THE BIONIC EAR INSTITUTE as filed on 10 December 2003.

WITNESS my hand this  
Twenty-third day of December 2004

A handwritten signature in black ink, appearing to read "J. K. Peisker".

JANENE PEISKER  
TEAM LEADER EXAMINATION  
SUPPORT AND SALES



AUSTRALIA

*Patents Act 1990*

# PROVISIONAL SPECIFICATION

Invention Title: **Delayed electrical stimulation for auditory prosthesis**

The invention is described in the following statement:

## DELAYED ELECTRICAL STIMULATION FOR AUDITORY PROSTHESES

The present invention relates generally to the generation of electrical stimuli for application to an auditory prosthesis electrode array. The invention is suitable for use in the 5 stimulation of cochleas or auditory brain and it will be convenient to described the invention in relation to these exemplary, non-limiting applications.

The multi-channel cochlear implant was first implanted in 1978. Early signal processing designs extracted the second formant (F2) and pitch (F0) to control electrode 10 stimulation. The frequency of F2 controlled the location of electrode stimulation, and F0 controlled the rate of stimulation with only one electrode stimulated per pitch period. Improvements were made by also extracting the first formant (F1) and adding a corresponding second stimulated electrode for each pitch period. The MULTYPEAK 15 stimulation strategy, described in US Patent No. 5,271,397, added stimulation of three fixed electrodes to add high-frequency information. Stimulation times were still controlled by F0 for voiced speech or were random for unvoiced speech.

The Spectral Maxima Sound Processor (SMS) strategy, described in Australian Patent No. 657,959, and SPEAK strategy, described in US Patent No. 5,597,380, were a 20 departure from the others as they used a fixed stimulation rate and stimulated electrodes that corresponded to maxima in the sound spectra. Another fixed-rate strategy, CIS, is described in US Patent No. 4,207,441. This strategy stimulated all of a small number of electrodes to represent the sound spectra. More recently the ACE strategy was developed which is able to perform all of the above strategies. Several stimulation orderings were 25 investigated for the SMS strategy (Vandali et al. (1995) "Multichannel cochlear implant speech processing: Further variations of the spectral maxima sound processor strategy", Annals of Otology, Rhinology & Laryngology, Supplement 166, Vol. 104, No. 9, Part 2, pp. 378-381): amplitude order, including largest-to-smallest and smallest-to-largest, where the stimulation order for each analysis cycle was controlled by the amplitudes of the 30 maxima; and tonotopic order, where stimulation order was from highest to lowest frequency. The tonotopic ordering scheme showed a small improvement for speech

perception in noise. The SPEAK and ACE strategies, by default, all use the tonotopic ordering scheme.

Other recent developments are "A peak-derived timing stimulation strategy for a  
5 multi-channel cochlear implant" described in International Patent Application No. WO  
02/096153, "Sound processor for a cochlear implant" described in International Patent  
Application No. WO 01/99470 (called the "Travelling Wave Strategy") and "Generation of  
electrical stimuli for application to a cochlea" described in International Patent Application  
No. PCT/AU03/00639 (called "STAR"). These strategies use filters to extract spatio-  
10 temporal information about the incoming audio signal and then stimulate the auditory  
nerve at times based on the properties of the filtered signals. The Travelling Wave  
Strategy and STAR also introduce travelling wave delays to control timing of excitation.

The Auditory Brainstem Implant (ABI) is an alternative auditory prosthesis for  
15 people and is usually implanted in the cochlear nucleus. An Auditory Brain Implant is a  
device for stimulation of any area of the auditory system, including the inferior colliculus  
(midbrain) and auditory cortex. These are generally constructed as a cluster of electrodes  
in a grid pattern rather than the linear construction of cochlear electrodes. The electrodes  
are surgically placed in the auditory brain and are stimulated using similar stimulation  
20 strategies as cochlear implants, after determining the "place-pitch" equivalents of the  
implanted electrodes so that assignment of frequencies may be made to the electrodes.

It would be desirable to provide a method and system for generating electrical  
stimuli for application to an auditory prosthesis electrode array that results in the response  
25 of auditory brain neurons more closely resembling the response of a normal hearing  
listener.

It would also be desirable to provide a method and system for generating electrical  
stimuli for application to an auditory prosthesis electrode array that ameliorates or  
30 overcomes one or more disadvantages of known electrical stimuli generation methods and  
systems.

One aspect of the invention provides a method of generating electrical stimuli for an auditory prosthesis electrode array including a plurality of electrodes in response to an incoming acoustic signal, the method including:

5 determining electrodes to be stimulated within the array and stimulation times for those electrodes; and

applying a temporal adjustment to the stimulation times such that stimulation of electrodes representing lower-amplitude components of the signal is delayed relative to stimulation of a proximate electrode representing a higher-amplitude component of the signal.

10 The auditory prosthesis electrode array may be implantable in a cochlea and form a linear electrode array. Alternatively, the auditory prosthesis electrode array may be implantable in an auditory brain and form an electrode grid mapped to the form of a linear electrode array.

15 The temporal adjustment of the stimulation times may be determined using delays derived in a manner similar to lateral suppression of amplitude. In the latter, the amplitude of a particular frequency component is reduced by an amount determined by the amplitudes of surrounding components. In the temporal adjustment scheme, the 20 amplitudes of surrounding components instead introduce delays in stimulation of the particular frequency component. This is termed "lateral temporal delay".

25 The stimulation time of each electrode may be temporally adjusted according to a latency function whereby for a particular electrode a temporal adjustment is applied if the weighted sum of the amplitudes of proximate electrical stimuli exceeds the weighted amplitude of the electrical stimuli to be applied to the particular electrode.

30 In one embodiment, the latency function defines a Mexican-hat shape centred on the electrical stimuli to be applied to the proximate electrode, with the restriction of being limited to a minimum of no delay.

The latency function  $f_x(\bar{x})$  may be defined by:

$$f_x(\bar{x}) = \min(0, -2aA_x + a \sum_{\substack{y=1 \\ y \neq x}}^N g(y)A_y)$$

where  $A_x$  is the stimulation amplitude of electrode  $x$ ,  $a$  is a scaling factor,  $N$  is the number of electrodes to which the latency function is constrained, and  $g(y)$  is amplitude of an electrical stimuli applied to electrode  $y$ .

Where the electrode array of the auditory prostheses requires non-simultaneous stimulation, the method may further include:

if there is temporal contention between stimulation on different electrodes of the electrode array, discarding one or more lower-amplitude stimuli in favour of a higher-amplitude stimulus.

Where the electrode array of the auditory prostheses requires non-simultaneous stimulation, the method may further include:

if there is temporal contention between stimulation on different electrodes of the electrode array, applying a further temporal delay to one or more lower-amplitude stimuli by one or more stimulation slots in favour of a higher-amplitude stimulus.

Another aspect of the invention provides a system for stimulating an auditory prosthesis electrode array, including:

a stimulator unit for selectively stimulating electrodes in the electrode array; and  
a processor for processing received sound signals and controlling the operation of the stimulator unit by carrying out a method as described above.

A further aspect of the invention provides a processor for use in a system for stimulating an auditory prosthesis electrode array, the system including a stimulator unit for selectively stimulating electrodes in the electrode array, the processor including digital signal processing means for processing received sound signals and controlling the operation of the stimulator unit by carrying out a method as described above.

Neurophysiological recordings suggest that the cochlear nucleus, the first stage of auditory processing in the brainstem, converts frequency information to timing information in a dynamic fashion where frequencies of interest are processed faster than less relevant information. This is achieved through interactions of inhibition and excitation. The 5 frequencies of interest are those whose amplitude is greater than surrounding frequencies. The present invention generates electrical stimuli for application to a cochlea, auditory brainstem or other region of the auditory brain via an auditory prosthesis electrode array where the timing of stimulation is modified by a latency model based on physiological data obtained from extra- and intra-cellular recordings in the ventral cochlear nuclei. The 10 electrical excitation of cochlear implant or auditory brain implant electrodes is delayed for lower-amplitude frequency bands relative to their neighbouring higher-amplitude frequency bands

The general sound processing strategy to which the invention can be applied may 15 be any strategy currently implemented or proposed for cochlear implant or auditory brain implant stimulation. These strategies will hitherto be referred to as the "base" strategies. In particular, strategies that stimulate electrodes at precise times based on the properties of the incoming acoustic signal would be preferred. These include, but are not limited to, the Peak-Derived Timing Stimulation strategy, the Travelling Wave strategy and the STAR 20 strategy.

The invention provides a method for processing the stimulation sequences resulting from existing sound processing strategies to generate electrical stimuli for an auditory prosthesis electrode array including a plurality of electrodes, the method entailing the 25 introduction of delay in stimulation time for electrodes depending on their amplitude of excitation compared to proximate electrodes. The time of stimulation of an electrode is obtained from the time normally used by the base stimulation strategy and a latency function.

30 Physiological data show that if a delay is introduced (irrespective of that already introduced to compensate for travelling wave) to frequencies which are not important then information of importance such as formants in speech or signals in noise will be sent to

brain sooner and this will aid in their identification and improve speech recognition. This delay may be particularly important for speech perception in noise as the neural elements involved in this processing respond best to noise. A mechanism also exists to enhance this delay further through bilateral inhibitory connections between cochlear nuclei.

5

The ventral cochlear nucleus (VCN) stellate population has been divided into T and D Stellate cells. D Stellate cells are inhibitory and known to project to T Stellate neurons, which are excitatory. Intracellular *in vivo* studies in the VCN demonstrate that D Stellate neurons display a significantly shorter latency to initial depolarisation than T Stellate cells, 10 which is also reflected in shorter first-spike latency. Whereas prolonged inhibition can reduce spike regularity in T stellate neurons, given the morphological organisation of D and T stellate cells, the data provides compelling evidence that, for a tone at a given frequency, fast duration inhibitory input from D Stellate cells may delay the onset of firing of T Stellate cells with CF's below or above that of the tone depending on its intensity. 15 This implies that the timing of action potential generation may be related to the frequency of presentation. For a given frequency then, D stellate cells delay the firing of neighbouring T stellate cells located in different iso-frequency laminae providing a timing que for frequency identification.

20

The D Stellate cells' inhibition is fast both in duration (<10 ms) and synaptic delay (~0.3 ms) and is most responsive to broadband stimuli. It may play a crucial role in establishing appropriate neural delays without the need for anatomically arranged delay lines. As inhibition via D stellate cells is more likely to be activated in noise and if, as proposed, inhibition plays a role in maintaining regular chopping behaviour in T Stellate 25 cells, the timing and interplay of excitation and inhibition may be particularly crucial for signal detection in noisy environments. This has implications not only for signal detection in noise but also for coding as a whole and may circumvent the need for and provide a more dynamic organisation than anatomically arranged delay lines in the coding of monaural and binaural information.

30

In a normal hearing person's auditory pathway, the inhibitory connections may be performing this role. However, auditory brain implants bypass the auditory nerve and

thereby remove the possibility of this processing taking place. Therefore, it is believed that introducing the control of latency of stimulation will restore this behaviour to the auditory brain. In addition, there is evidence that the inhibitory pathways in the hearing impaired person are compromised because of lack of auditory input for some time. Therefore, the 5 strategy may improve cochlear implant users' speech perception, especially in the presence of noise.

The following description refers in more detail to the various features of the method and system for generating electrical stimuli of the present invention. To facilitate 10 an understanding of the invention, reference is made in the description to the accompanying drawings where the invention is illustrated in a preferred embodiment. It is to be understood however, that the invention is not limited to the preferred embodiment as shown in the drawings.

15       In the drawings:

Figure 1 is a schematic drawing of a first embodiment of a system for stimulating an electrode array implanted into a cochlea;

Figure 2 is a schematic drawing of a second embodiment of a system for stimulating an electrode array implanted into an auditory brain;

20       Figure 3 is a schematic diagram showing the function blocks of a processor forming part of the electrode stimulation systems shown in Figures 1 and 2; and

Figure 4 is an exemplary form of the latency function used to determine the amount of delay to be introduced for a particular electrode of the electrode stimulation system shown in Figures 1 and 2.

25       Referring now to Figure 1, there is shown generally a system for stimulating an electrode array in accordance with a processed signal. An electrode array 1 for implanting into a cochlea connects via cable 2 to a receiver-stimulator unit (RSU) 3. The physical form of the electrode array may be different to that shown in the figure and depends on the 30 device and location of implantation. The implanted system receives control signals and power from an external speech processor unit, preferably via a tuned coil RF system 5, 6 as

illustrated. However, any alternative connection technique such as percutaneous connection may be employed.

The coil 6 carries a signal modulated by the processor 7 so as to cause the RSU 3 to stimulate the electrodes in the electrode array in the desired sequence, timing and amplitude. The processor 7 in turn receives electrical analog signals from a microphone 8 worn by the user. The present invention is concerned with the operation of the processor and particularly the method of post-processing the electrode stimulation sequence.

Figure 2 shows a variation to the system shown in Figure 1 in which the electrode array 1' forms part of an Auditory Brain Implant (ABI) that bypasses the cochlea altogether. The electrode array 1' is attached directly to the auditory brain at the base of the brain or some position higher up in the auditory pathway.

Figure 3 illustrates the various functional blocks of the processor 7, including a pre-filtering & ADC block 9, a filter bank 10, a stimulus generation block 11, a timing latency block 12, a stimulation selection & ordering block 13 and a loudness growth function block 14. The pre-filtering & ADC block 9 may be implemented using known electronic circuitry and analog signal sampling techniques, whilst the functional blocks 10 to 14 may be implemented using known digital signal processing techniques.

#### *Base sound processing*

Sound is recorded by the microphone 8, which may inherently apply pre-emphasis to the incoming signal. This signal is low-pass filtered, to prevent aliasing during sampling, and is then sampled by an analog-to-digital converter in the pre-filtering and ADC block 9. The base sound processing is then performed on the signal that divides it up into a number of channels representing different frequencies 10. In an embodiment of the invention using the CI-24M cochlear implant, up to 22 channels may be used. The base sound processing system then determines the electrodes to be stimulated and its own determination of the times that this stimulation should take place 11. For the Peak-Derived Timing Stimulation strategy, these are the times that each filtered waveform reaches a peak between zero crossings; for the Travelling Wave and STAR strategies, these are the times

extracted from the rectified or threshold-crossing times of each filtered waveform plus the travelling wave delay introduced for each electrode. Other base stimulation strategies have their own method of generating the stimulation times.

##### 5 *Introduction of amplitude-based excitation time latency*

Additional latency is then introduced based on the amplitude of a filter band relative to the amplitudes of neighbouring filter bands in the filter bank 10. The function displayed in Figure 4 illustrates a possible form of the latency function utilising lateral temporal delay. This works in a manner similar to traditional lateral suppression, where 10 the amplitudes of proximate frequency components suppress the amplitude of the filter band, except that instead of changing amplitudes of outputs, the timing of outputs is adjusted. Accordingly, the temporal adjustment applied to the stimulation time of each electrode is derived from the amplitudes of electrical stimuli to be applied to proximate electrodes. In this figure, the stimulating electrode represents an electrode to which a 15 stimulus current pulse will be applied.

The time of stimulation of the electrodes proximate to the stimulating electrode is determined by the following formula :

$$T_x = T_{\text{base}}(x) + f_x(\vec{x})$$

20 where  $T_x$  is the time to stimulate electrode  $x$ ,  $T_{\text{base}}(x)$  is the base strategy's stimulation time for electrode  $x$  and  $f_x(\vec{x})$  is the temporal delay caused by the relationship of the amplitude of this filter band to the surrounding filter bands for other electrodes.

25 The latency function  $f_x(\vec{x})$  defines a Mexican-hat shape centred on the electrical stimuli to be applied to the proximate electrode, with the further restriction that it be limited to a minimum of zero, or no delay. A delay will be introduced if the weighted sum of the amplitudes of the filter bands for surrounding electrodes exceeds the value of the current electrode's amplitude. For an electrode that is a local maximum, the weighted sum will be negative and so no extra delay will be added. However, if there is a nearby

electrode or group of electrodes with greater amplitude, then the stimulation time will be delayed. The formula for  $f_x(\vec{x})$  is of the form

$$f_x(\vec{x}) = \min(0, -2aA_x + a \sum_{\substack{y=1 \\ y \neq x}}^N g(y)A_y)$$

where  $A_x$  is the stimulation amplitude of electrode  $x$ ,  $a$  is a scaling factor,  $N$  is the number of electrodes to which the latency function is constrained, and  $g(y)$  is amplitude of an electrical stimuli applied to each electrode  $y$ , as illustrated in Figure 4. The latency function may be constrained to a limited number of electrodes only in the electrode array or may include all electrodes in the array. The actual value of  $N$  may vary according to the listener, the auditory prosthesis and the aural environment in question.

10

The electrode array 1 shown in Figure 1 typically includes 22 electrodes, however the latency function is constrained to a limited number of electrodes proximate the electrode to which a high-amplitude stimuli is to be applied. In the example shown in Figure 4, the latency function is constrained to apply to 4 electrodes at lower frequencies and five electrodes at higher frequencies (although four of these make no contribution). However, different extents and shapes of latency functions may be used in other embodiments, including different frequency extents on the low and high frequency sides and this may vary for different stimulating electrodes.

20

A scheme for auditory brain implant processing is similar to that described above and illustrated in Figure 4. The electrodes are not usually in a linear configuration, so the scheme operates by using the frequencies that are assigned in the method usually prescribed for auditory brain prostheses and mapped to the form of the electrode array illustrated in Figure 4.

25

#### *Further processing*

After the introduction of latency to electrode stimulation time, control passes back to the base stimulation strategy. It is at this stage that electrode selection and ordering must take place to determine which electrodes will be stimulated over the coming time interval and to deal with issues of contention where the stimulation times for two or more

electrodes may be the same in the stimulus selection and ordering block 13. Implants are limited in the number of stimuli that may be provided per second, so electrode selection is required to ensure that this limit is observed. The procedure for doing this is usually to choose those electrodes with the largest amplitude of stimulation, but this is dependent on  
5 the base strategy and the prosthesis that is being used.

Most current implants require that stimulation of multiple electrodes be non-simultaneous. It is for this reason that contention may be considered. This is also dependent on the base strategy, but where the base strategy does not consider this  
10 possibility, low amplitude stimuli may be discarded or delayed further in preference for higher amplitude stimuli. The stimulation provided by an auditory prosthesis that requires non-simultaneous stimulation may be divided into stimulation slots, where there is one slot for each stimulation time permitted. For example, the CI-24M implant, which has a maximum stimulation rate of 14,400 pulses per second, has 14,400 stimulation slots per  
15 second. Stimuli are assigned to these stimulation slots by the base strategy. The extra delay to be introduced to overcome electrode contention may be performed by shifting the lower amplitude stimuli into the next slot. Then the next slot is considered and if multiple stimuli are in that slot, then the lower amplitude stimuli are shifted to the next slot. This procedure continues for each stimulation slot. If a stimulus has been postponed for more than a  
20 reasonable amount of time, then it will be discarded to avoid extraneous stimulation. This time could be around 0.5 msec (corresponding to about 22 stimulation slots for the CI-24M) although it may vary for different electrodes and different implementations.

After each cycle of electrode selection, the stimuli are mapped to current levels  
25 using the standard loudness growth function (LGF) and the stored map (T and C levels) for the user by the loudness growth function block 14. The LGF is a logarithmic function relating stimulus level to loudness to obtain an appropriate increase in subjective loudness. The stored map specifies the minimum and maximum current levels permitted for a user. This is, again, a property of the implant and base strategy.

The stimulus sequence is then transmitted to the receiver-stimulus unit 3 that interfaces with the auditory prosthesis and encodes the electrode selection and current level information to the device.

- 5 It is to be understood that various modifications and/or additions may be made to the method for modifying the latency of electrical stimuli described herein without departing from the spirit or ambit of the present invention.

The claims defining the invention are as follow:

1. A method generating electrical stimuli for an auditory prosthesis electrode array including a plurality of electrodes in response to an incoming acoustic signal, the method including:
  - 5 determining electrodes to be stimulated within the array and stimulation times for those electrodes; and
  - 10 applying a temporal adjustment to the stimulation times such that stimulation of electrodes representing lower-amplitude components of the signal is delayed relative to stimulation of a proximate electrode representing a higher-amplitude component of the signal.
2. A method according to claim 1, wherein the auditory prosthesis electrode array is implantable in a cochlea and forms a linear electrode array.
  - 15 3. A method according to claims 1, wherein the auditory prosthesis electrode array is implantable in an auditory brain and forms an electrode grid that may be mapped to the form of a linear electrode array.
  - 20 4. A method according to any one of the preceding claims, wherein the temporal adjustment applied to the stimulation time of an electrode is derived from the amplitudes of electrical stimuli to be applied to proximate electrodes.
  - 25 5. A method according to claim 4, wherein the stimulation time of each electrode is temporally adjusted according to a latency function whereby for a particular electrode a temporal adjustment is applied if the weighted sum of the amplitudes of proximate electrical stimuli exceeds the weighted amplitude of the electrical stimuli to be applied to the particular electrode.
  - 30 6. A method according to claim 5, wherein the latency function defines a Mexican-hat shape centred on the electrical stimuli to be applied to the proximate electrode, with the restriction of being limited to a minimum of no delay.

7. A method according to claim 6, wherein the latency function  $f_x(\bar{x})$  is defined by:

$$f_x(\bar{x}) = \min(0, -2\alpha A_x + \alpha \sum_{\substack{y=1 \\ y \neq x}}^N g(y) A_y)$$

where  $A_x$  is the stimulation amplitude of electrode  $x$ ,  $\alpha$  is a scaling factor,  $N$  is the  
5 number of electrodes to which the latency function is constrained, and  $g(y)$  is amplitude  
of an electrical stimuli applied to electrode  $y$ .

8. A method according to any one of the preceding claims, wherein the electrode array  
of the auditory prostheses requires non-simultaneous stimulation, the method further  
10 including:

if there is temporal contention between stimulation on different electrodes of the electrode  
array, discarding one or more lower-amplitude stimuli in favour of a higher-amplitude  
stimulus.

- 15 9. A method according to any one of claims 1 to 7, wherein the electrode array of the  
auditory prostheses requires non-simultaneous stimulation, the method further including:  
if there is temporal contention between stimulation on different electrodes of the electrode  
array, applying a further temporal delay to one or more lower-amplitude stimuli by one or  
more stimulation slots in favour of a higher-amplitude stimulus.

- 20 10. A system for stimulating an auditory prosthesis electrode array, including:  
a stimulator unit for selectively stimulating electrodes in the electrode array; and  
a processor for processing received sound signals and controlling the operation of  
the stimulator unit by carrying out a method according to any one of claims 1 to 9.

11. A processor for use in a system for stimulating an auditory prosthesis electrode array, the system including a stimulator unit for selectively stimulating electrodes in the electrode array, the processor including digital signal processing means for processing received sound signals and controlling the operation of the stimulator unit by carrying out a method according to any one of claims 1 to 9.

10

DATED this 10 December 2003

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**THE BIONIC EAR INSTITUTE**

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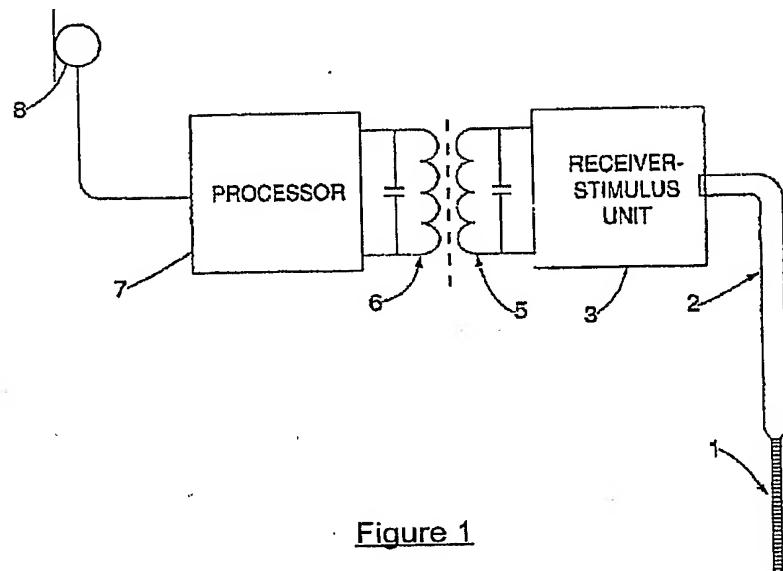


Figure 1

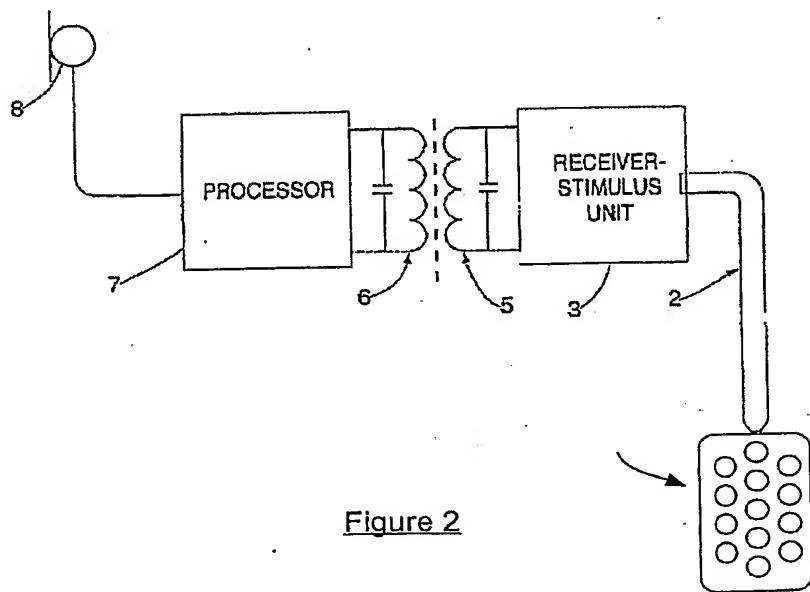


Figure 2

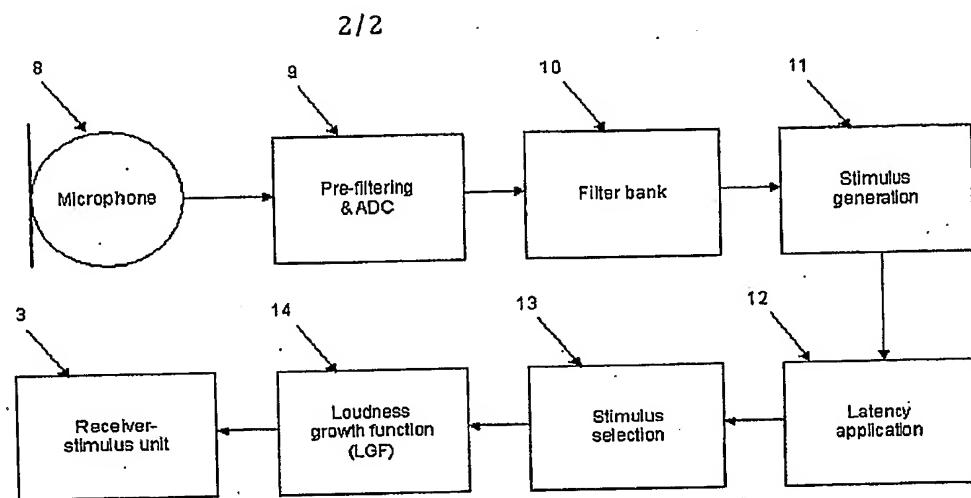


Figure 3

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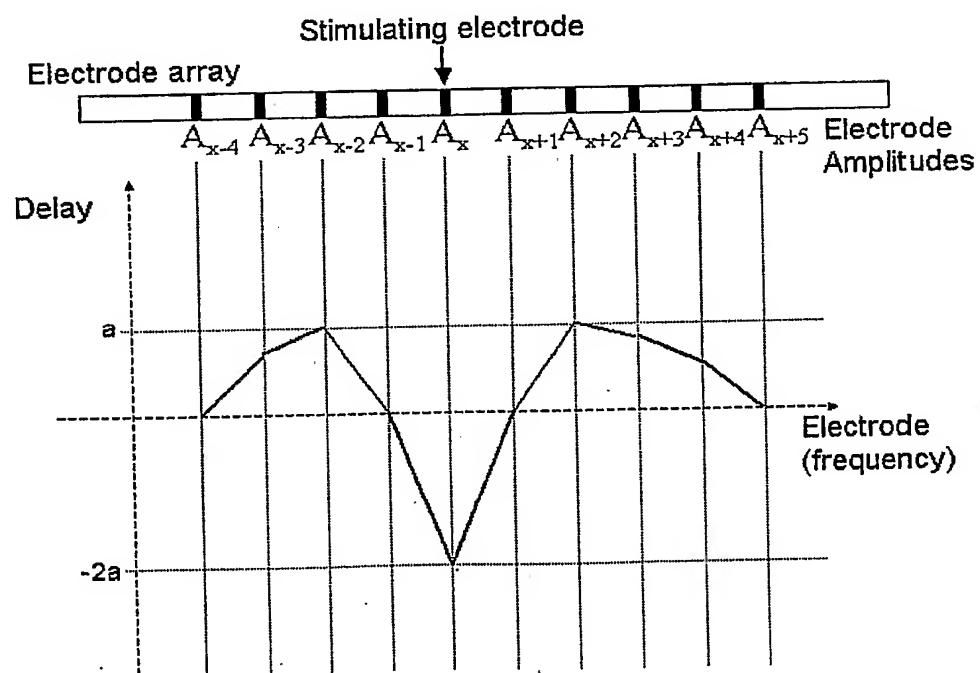


Figure 4